

May 2012

Highlights

Internal Audit Report to the
Board of Supervisors

Why We Did This Review

The Jail Management System (JMS) is critical to jail operations. JMS is the primary computer system used to manage jail operations and inmates. JMS processes approximately 105 million transactions per year.

The audit focused on controls over:

- Information system security and availability
- Data confidentiality, integrity, and availability

What We Recommended

We recommended MCSO:

- Improve JMS access controls and the personnel screening process
- Ensure all users receive security awareness training
- Increase change management controls
- Develop an IT strategic plan, and formalize the project management process
- Develop formalized JMS policies and procedures



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Jail Management System

Application Controls Need Improvement

What We Found

The Sheriff's Office (MCSO) information technology (IT) control environment generally follows industry standards; however, improvements are needed in some areas. The table below summarizes the results of our review.

Summary of Information Technology Controls Reviewed	
Area	Results
IT Control Environment	MCSO generally follows industry standards in the following areas: information architecture, defining roles and responsibilities, super user access, computer virus protection, version control, batch processing and job scheduling, system interfaces, tape backups, problem management.
Network Security	We tested network security controls over four areas: (1) the Criminal Justice Network, (2) password management, (3) remote access security, and (4) patch management. Due to the sensitive nature of this work, our results were reported to MCSO in a separate report.
Personnel Screening & Access Reviews	MCSO background check procedures complied with requirements; however, a small number of JMS users may not be adequately screened, and security awareness training did not include all of the required areas. In addition, controls over access permissions need improvement.
Change Management	MCSO does not have formalized change management policies and procedures.
IT Strategic Planning & Project Management	MCSO does not have a formalized strategic plan or IT project management process.
IT Policies and Procedures	MCSO does not have formalized JMS IT policies and procedures.

We appreciate the excellent cooperation received from Sheriff's Office management and staff during this audit.

"Do the Right Things Right!"

Maricopa County Internal Audit Department